

# Warren County Board of Supervisors

## RESOLUTION NO. 550 OF 2014

**Resolution introduced by Supervisors Taylor, Kenny, Sokol, Merlino, Dickinson, Girard, Vanselow, Wood and Simpson**

### TO ENACT LOCAL LAW NO. 6 OF 2014

WHEREAS, a proposed Local Law was duly presented to the Board of Supervisors and considered by them, said proposed Local Law entitled, "Warren County Ethics and Disclosure Law", and

WHEREAS, the Board of Supervisors adopted Resolution No. 499 of 2014 on October 17, 2014, authorizing a public hearing to be held by the Board of Supervisors on the 21<sup>st</sup> day of November, 2014, at 10:00 a.m. in the Supervisors' Room in the Warren County Municipal Center on the matter of the proposed Local Law, and notice of such public hearing having been duly published and posted as required by law, and said public hearing having been held and all persons appearing at said public hearing desiring to be heard, having been heard, now, therefore, be it

RESOLVED, the Board of Supervisors of the County of Warren, New York, on this 21<sup>st</sup> day of November, 2014, does hereby enact and adopt Local Law No. 6 of 2014 as set forth in Schedule "A" annexed hereto, and be it further

RESOLVED, that the Chairman of the Board of Supervisors, Clerk of the Board of Supervisors, County Administrator and County Attorney are hereby authorized to make such minor modifications to the Local Law as deemed necessary, and are authorized to execute, file and publish the Local Law and take all necessary actions for the promulgation thereof.

**SCHEDULE “A”**

**COUNTY OF WARREN**

**LOCAL LAW NO. 6 OF 2014**

**WARREN COUNTY ETHICS AND DISCLOSURE LAW**

**BE IT ENACTED**, by the Board of Supervisors of the County of Warren, New York as follows:

SECTION 1. Title. This Local Law shall be entitled “Warren County Ethics and Disclosure Law.”

SECTION 2. Purpose. Officers and employees of Warren County hold their positions to serve and benefit the public, and not for obtaining unwarranted personal or private gain in the exercise and performance of their official powers and duties. The Board of Supervisors recognizes that, in furtherance of this fundamental principle, there is a need for clear and reasonable standards of ethical conduct. This code of ethics establishes those standards.

SECTION 3. Definitions.

- (a) “Board” means Warren County Board of Supervisors.
- (b) “Code” means this Code of Ethics.
- (c) “Interest” means a direct or indirect financial or material benefit, but does not include any benefit arising from the provision or receipt of any services generally available to the residents or taxpayers of the municipality or an area of the municipality, or a lawful class of such residents or taxpayers. A municipal officer or employee is deemed to have an interest in any private organization when he or she, his or her spouse, or a member of his or her household, is an owner, partner, member, director, officer, employee, or directly or indirectly owns or controls more than five percent (5%) of the organization’s outstanding stock.
- (d) “Municipality” means Warren County. The word “municipal” refers to the municipality.
- (e) “Municipal officer or employee” means a paid or unpaid officer or employee of Warren County, including, but not limited to, the members of any municipal board and includes elected officials and officers or employees who hold policy making positions.
- (f) “Relative” means a spouse, parent, step-parent, sibling, step-sibling, sibling’s spouse, child, step-child, uncle, aunt, nephew, niece, first cousin, or household member of a municipal officer or employee, and individuals having any of these relationships to the spouse of the officer or employee.

SECTION 4. Applicability. This code of ethics applies to the officers and employees of Warren County, and shall replace and supersede the Warren County Code of Ethics dated December 14, 1990. The provisions of this code of ethics shall apply in addition to all applicable State and local laws relating to

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conflicts of interest and ethics including, but not limited to, Article 18 of the General Municipal Law and all

rules, regulations, policies and procedures of Warren County.

SECTION 5. Prohibition on use of municipal position for personal or private gain. No municipal officer or employee shall use his or her municipal position or official powers and duties to secure a financial or material benefit for himself or herself, a relative, or any private organization in which he or she is deemed to have an interest.

SECTION 6. Disclosure of interest in legislation and other matters.

(a) Whenever a matter requiring the exercise of discretion comes before a municipal officer or employee, either individually or as a member of a board, and disposition of the matter could result in a direct or indirect financial or material benefit to himself or herself, a relative, or any

private organization in which he or she is deemed to have an interest, the municipal officer or employee shall disclose in writing the nature of the interest.

(b) The disclosure shall be made when the matter requiring disclosure first comes before the municipal officer or employee, or when the municipal officer or employee first acquires knowledge of the interest requiring disclosure, whichever is earlier.

(c) In the case of a person serving in an elective office, the disclosure shall be filed with the governing board of the municipality. In all other cases, the disclosure shall be filed with the person's supervisor or, if the person does not have a supervisor, the disclosure shall be filed with the municipal officer, employee or board having the power to appoint to the person's position. In addition, in the case of a person serving on a municipal board, a copy of the disclosure shall be filed with the board. Any disclosure made to a board shall be made publicly at a meeting of the board and must be included in the minutes of the meeting.

SECTION 7. Annual Disclosure.

Officers and employees required to file. The officers and employees of Warren County as set forth below and more particularly but not necessarily exhaustively set forth on a representative list of such officers and employees annexed and incorporated herein as Appendix "A", shall be required to sign and file an annual disclosure statement. The form annual disclosure statement is annexed hereto and incorporated herein as Appendix "B". The Board of Ethics as established under Section 18 hereof shall enforce such filing requirements. All officers and employees shall comply with General Municipal Law Article 18 and any amendments or revisions relative to the filing of financial statements.

(a) Elected officials; and

(b) The heads of any agency, department, division, council, board, commission, authority or bureau of Warren County and their deputies and other persons authorized to act on their behalf who make policy decisions; and

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- (c) Officers and employees who hold policymaking positions, including members of boards, commissions and public authorities of Warren County; A person shall be considered to hold a policymaking position if he or she meets the following criteria, based either on the powers and duties of the position held by the person as set forth in the job description or any applicable law or regulation, or based on the actual duties performed by the person:
  - (1) he or she has been determined to be managerial pursuant to Civil Service Law §201(7) because he or she formulates policy; or
  - (2) he or she is in the non-competitive class under §2.2 of the rules and regulations of the New York State Department of Civil Service, provided that the person holds a position that is designated in any applicable rules and regulations promulgated by the county civil service commission or County Personnel Officer pursuant to Civil Service Law §20, on the basis that the position requires the performance of functions influencing policy; or
  - (3) he or she exercises responsibilities of a broad scope in the formulation of plans for the implementation of goals or policy for a county agency or acts as an advisor to an individual in such a position, and
- (d) Officers and employees having discretionary authority with respect to:
  - (1) Contracts, leases, franchises, concessions, permits, or licenses; or
  - (2) The purchase, sale, rental, or lease of real property, personal property, or services, or a contract therefore; or
  - (3) The obtaining of grants of money or loans; or
  - (4) Inspections; or
  - (5) The adoption or repeal of any rule or regulation having the force and effect of law, and

2. Time and place for filing. The annual disclosure statements shall be filed with the office of the County Attorney no later than the 31<sup>st</sup> of March each year.

SECTION 8. Recusal and abstention.

- (a) No municipal officer or employee may participate in any decision or take any official action with respect to any matter requiring the exercise of discretion, including discussing the matter and voting on it, when he or she knows or has reason to know

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that the action could confer a direct or indirect financial or material benefit on himself or herself, a relative, or any private organization in which he or she is deemed to have an interest.

- (b) In the event that this section prohibits a municipal officer or employee from exercising or performing a power or duty:
  - (1) if the power or duty is vested in a municipal officer as a member of a board, then the power or duty shall be exercised or performed by the other members of the board; or
  - (2) if the power or duty that is vested in a municipal officer individually, then the power or duty shall be exercised or performed by his or her deputy or, if the officer does not have a deputy, the power or duty shall be performed by another person to whom the officer may lawfully delegate the function.
  - (3) if the power or duty is vested in a municipal employee, he or she must refer the matter to his or her immediate supervisor, and the immediate supervisor shall designate another person to exercise or perform the power or duty.

SECTION 9. Prohibition inapplicable; disclosure, recusal and abstention not required.

- (a) This code's prohibition on use of a municipal position (section 5), disclosure requirements (sections 6 and 7), and requirements relating to recusal and abstention (section 8), shall not apply with respect to the following matters:
  - (1) adoption of Warren County's annual budget;
  - (2) any matter requiring the exercise of discretion that directly affects any of the following groups of people or a lawful class of such groups:
    - (i) all municipal officers or employees;
    - (ii) all residents or taxpayers of the municipality or an area of the municipality; or
    - (iii) the general public; or
  - (3) any matter that does not require the exercise of discretion.
- (b) Recusal and abstention shall not be required with respect to any matter:
  - (1) which comes before the Warren County Board of Supervisors or standing Committee or Special Committee thereof when a majority of the board's or

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committee's total membership would otherwise be prohibited from acting by section 8 of this code;

- (2) which comes before a municipal officer when the officer would be prohibited from acting by section 8 of this code and the matter cannot be lawfully delegated to another person.

SECTION 10. Investments in conflict with official duties.

- (a) No Warren County officer or employee may acquire the following investments:
  - (1) investments that can be reasonably expected to require more than sporadic recusal and abstention under section 8 of this code; or
  - (2) investments that would otherwise impair the person's independence of judgment in the exercise or performance of his or her official powers and duties.
- (b) This section does not prohibit a Warren County officer or employee from acquiring any other investments or the following assets:
  - (1) real property located within Warren County and used as his or her personal residence;
  - (2) less than five percent (5%) of the stock of a publicly traded corporation; or
  - (3) bonds or notes issued by a municipality and acquired more than one year after the date on which the bonds or notes were originally issued.

SECTION 11. Private employment in conflict with official duties.

- (a) No Warren County officer or employee, during his or her tenure as a municipal officer or employee, may engage in any private employment, including the rendition of any business, commercial, professional or other types of services, and including serving as a Board member, consultant, contractor or passive investor of an entity that engages in any business or maintains any relationship with Warren County, provides to or oversees from the County any client referrals or competes with the County when the employment or activity:
  - (1) can be reasonably expected to require more than sporadic recusal and abstention pursuant to section 8 of this code;
  - (2) can be reasonably expected to require disclosure or use of confidential information gained by reason of serving as a municipal officer or employee;
  - (3) violates section 805-a(1)(c) or (d) of the General Municipal Law; or

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- (4) requires representation of a person or organization other than Warren County in connection with litigation, negotiations or any other matter to which Warren County is a party.
  
- (b) Outside Interest Form. If any Warren County officer or employee or immediate family member is currently or plans to be in the future an employee, Board member, consultant, owner, contractor or even a passive investor of an entity that engages in any business or maintains any relationship with Warren County; provides to or receives from Warren County any client referrals or competes with Warren County, they must fill out an Outside Interest Form in the office of the Warren County Attorney. Annexed hereto and made a part hereof as Appendix "C" is a sample copy of the Outside Interest Form.

SECTION 12. Future employment.

- (a) No Warren County officer or employee may ask for, pursue or accept a private post-government employment opportunity with any person or organization that has a matter requiring the exercise of discretion pending before the Warren County officer or employee, either individually or as a member of a board, while the matter is pending or within the thirty (30) days following final disposition of the matter.
  
- (b) No Warren County officer or employee, for the two-year period after serving as a Warren County officer or employee, may represent or render services to a private person or organization in connection with any matter involving the exercise of discretion before the Warren County office, board, department or comparable organizational unit for which he or she serves.
  
- (c) No Warren County officer or employee, at any time after serving as a Warren County officer or employee, may represent or render services to a private person or organization in connection with any particular transaction in which he or she personally and substantially participated while serving as a Warren County officer or employee.

SECTION 13. Personal representations and claims permitted. This Code shall not be construed as prohibiting a Warren County officer or employee from:

- (a) representing himself or herself, or his or her spouse or minor children before Warren County; or
  
- (b) asserting a claim against Warren County on his or her own behalf, or on behalf of his or her spouse or minor children.

SECTION 14. Use of Warren County resources.

- (a) Warren County resources shall be used for lawful Warren County purposes. Warren County resources include, but are not limited to, municipal personnel, and Warren

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County's money, vehicles, equipment, materials, supplies or other property.

- (b) No Warren County officer or employee may use or permit the use of Warren County resources for personal or private purposes, but this provision shall not be construed as prohibiting:
  - (1) any use of Warren County resources authorized by law or municipal policy;
  - (2) the use of Warren County resources for personal or private purposes when provided to a Warren County officer or employee as part of his or her compensation; or
  - (3) the occasional and incidental use during the business day of Warren County telephones and computers for necessary personal matters such as family care and changes in work schedule.
- (c) No Warren County officer or employee shall cause Warren County to spend more than is reasonably necessary for transportation, meals or lodging in connection with official travel.

**SECTION 15. Interests in Contracts.**

- (a) No Warren County officer or employee may have an interest in a contract that is prohibited by section 801 of the General Municipal Law.
- (b) Every Warren County officer and employee shall disclose interests in contracts with Warren County at the time and in the manner required by section 803 of the General Municipal Law.

**SECTION 16. Nepotism. Except as otherwise required by law:**

- (a) No Warren County officer or employee, either individually or as a member of a board, may participate in any decision specifically to appoint, hire, promote, discipline or discharge a relative for any position at, for or within Warren County or a Warren County board.
- (b) No Warren County officer or employee may supervise a relative in the performance of the relative's official powers or duties.

**SECTION 17. Political Solicitations.**

- (a) No Warren County officer or employee shall directly or indirectly to compel or induce a subordinate Warren County officer or employee to make, or promise to make, any political contribution, whether by gift of money, service or other thing of value.
- (b) No Warren County officer or employee may act or decline to act in relation to

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appointing, hiring or promoting, discharging, disciplining, or in any manner changing the official rank, status or compensation of any Warren County officer or employee, or an applicant for a position as a Warren County officer or employee, on the basis of the giving or withholding or neglecting to make any contribution of money or service or any other valuable thing for any political purpose.

SECTION 18. Confidential Information. No Warren County officer or employee who requires confidential information in the course of exercising or performing his or her official powers or duties may disclose or use such information unless the disclosure or use is required by law or in the course of exercising or performing his or her official powers and duties.

SECTION 19. Gifts.

- (a) No Warren County officer or employee shall solicit, accept or receive a gift in violation of section 805-a(1)(a) of the General Municipal Law as interpreted in this section.
- (b) No Warren County officer or employee may directly or indirectly solicit any gift.
- (c) No Warren County officer or employee may accept or receive any gift, or multiple gifts from the same donor, having an annual aggregate value of seventy-five dollars (\$75) or more when:
  - (1) the gift reasonably appears to be intended to influence the officer or employee in the exercise or performance of his or her official powers or duties;
  - (2) the gift could reasonably be expected to influence the officer or employee in the exercise or performance of his or her official powers or duties; or
  - (3) the gift is intended as a reward for any official action on the part of the officer or employee.
- (d) For purposes of this section, a “gift” includes anything of value, whether in the form of money, service, loan, travel, entertainment, hospitality, thing or promise, or in any other form. The value of a gift is the gift’s fair market value, determined by the retail cost of the item or a comparable item. The fair market value of a ticket entitling the holder to food, refreshments, entertainment, or any other benefit is the face value of the ticket, or the actual cost to the donor, whichever is greater. Determination of whether multiple gifts from a single donor exceed seventy-five dollars (\$75) must be made by adding together the value of all gifts received from the donor by an officer or employee during the twelve-month period preceding the receipt of the most recent gift.
- (e) (1) A gift to a Warren County officer or employee is presumed to be intended to influence the exercise or performance of his or her official powers or duties when the gift is from a private person or organization that seeks Warren

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County action involving the exercise of discretion by or with the participation of the officer or employee.

- (2) A gift to a Warren County officer or employee is presumed to be intended as a reward for official action when the gift is from a private person or organization that has obtained Warren County action involving the exercise of discretion by or with the participation of the officer or employee during the preceding twelve months.
- (f) This section does not prohibit any other gift, including:
- (1) gifts made to Warren County;
  - (2) gifts from a person with a family or personal relationship with the officer or employee when the circumstances make it clear that the personal relationship, rather than the recipient's status as a Warren County officer or employee, is the primary motivating factor for the gift;
  - (3) gifts given on special occasions, such as marriage, illness, or retirement, which are modest, reasonable and customary;
  - (4) unsolicited advertising or promotional material of little intrinsic value, such as pens, pencils, note pads, and calendars;
  - (5) awards and plaques having a value of seventy-five dollars (\$75) or less which are publicly presented in recognition of service as a Warren County officer or employee, or other service to the community; or
  - (6) meals and refreshments provided when a Warren County officer or employee is a speaker or participant at a job-related professional or educational conference or program and the meals and refreshments are made available to all participants.

SECTION 20. Board of Ethics.

- (a) There is hereby established a board of ethics for Warren County. The board of ethics shall consist of three (3) members, a majority of whom shall not be officers or employees of Warren County, but at least one of whom shall be an elected or appointed officer or employee of Warren County or a Municipality located within Warren County. The members of such board of ethics shall be appointed by the Board of Supervisors, serve at the pleasure of the appointing authority, and receive no salary or compensation for their services as members of the board of ethics. The Board of Supervisors may appoint alternate members for each category who shall serve in the event a member is unable to serve due to illness, unavailability or when a conflict is presented. Alternate members shall serve at the pleasure of the appointing authority, and receive no salary or compensation for their services as members of the board of ethics.

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- (b) A member of the board of ethics shall not be an official, officer or committee person of a political party or hold any similar office or title in a political party.
- (c) The board of ethics shall render advisory opinions to the officers and employees of Warren County with respect to article 18 of the General Municipal Law and this code. Such advisory opinions must be rendered pursuant to the written request of any such officer or employee under such rules and regulations as the board of ethics may prescribe. In addition, the board of ethics may make recommendations with respect to the drafting and adoption of a code of ethics, or amendments to the Code of Ethics, upon the request of the Board of Supervisors.
- (d) The board of ethics may establish such rules and policies that may be necessary for the proper discharge of its duties and may utilize the services of the office of the Warren County Attorney.

**SECTION 21. Posting and distribution.**

- (a) The Warren County Administrator or his or her designee must promptly cause a copy of this Local Law, and a copy of any amendment to this Local Law, to be posted publicly and conspicuously in each building under Warren County's control. The code must be posted within ten (10) days following the date on which the Local Law takes effect. An amendment to the Local Law must be posted within ten (10) days following the date on which the amendment takes effect.
- (b) The Warren County Administrator or his or her designee must promptly cause a copy of this Local Law, including any amendments to the Local Law, to be distributed to every person who is or becomes an officer and employee of Warren County.
- (c) Every Warren County officer or employee who receives a copy of this Local Law or an amendment to the Local Law must acknowledge such receipt in writing. Such acknowledgments must be filed with the Clerk of the Warren County Board of Supervisors who must maintain such acknowledgments as a public record.
- (d) The failure to post this Local Law or an amendment to the Local Law does not affect either the applicability or enforceability of the Local Law or the amendment. The failure of a Warren County officer or employee to receive a copy of this Local Law of ethics or an amendment to the Local Law, or to acknowledge receipt thereof in writing, does not affect either the applicability or enforceability of the Local Law or amendment to the Local Law.

**SECTION 22. Enforcement.** Any Warren County officer or employee who violates this Local Law may be censured, fined, suspended or removed from office or employment in the manner provided by law.

**SECTION 23. Severability.** In the event that any provision of this Local Law shall be determined by a Court of Law to be illegal and/or unenforceable, the Local Law, to the extent the Courts have

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determined practical shall continue in full force and effect as if the said illegal or unenforceable provision were not contained a part thereof.

SECTION 24. Effective date. This Local Law shall take effect immediately upon filing with the Secretary of State.

**APPENDIX "A"**

The following Warren County officers and employees shall file a financial disclosure statement as provided by the Warren County Code of Ethics:

Supervisor, Warren County Board of Supervisors  
Clerk of the Warren County Board of Supervisors  
Deputy Clerk of the Warren County Board of Supervisors  
District Attorney  
Assistant District Attorney  
Public Defender  
Assistant Public Defender  
Warren County Administrator  
Assistant Warren County Administrator  
County Auditor  
County Treasurer  
Deputy County Treasurer  
Budget Officer  
Purchasing Agent  
Deputy Purchasing Agent  
Director of Real Property Tax Services  
Deputy Director of Real Property Tax Services  
County Clerk  
Deputy County Clerk  
County Attorney  
Assistant County Attorney  
Director, County Human Resources  
Personnel Officer  
Commissioners of Elections  
Deputy Commissioners of Elections  
Superintendent of Public Works  
Deputy Superintendent Public Works  
Deputy Superintendent Public Works/Operations  
Airport Manager  
Director of Probation  
Sheriff  
Undersheriff  
Lieutenant, Sheriff's Office  
Director of Public Health/Patient Services, Health Services  
Assistant Director Public Health  
Assistant Director Patient Services  
Director, Community Mental Health Services  
Assistant Director of Mental Health  
Commissioner of Social Services  
Deputy Commissioner of Social Services  
Social Services Attorney

Appendix "A" con't

Assistant Social Services Attorney  
Director of Nursing  
Administrator, Westmount Health Facility  
Director Countryside Adult Home  
Director of Employment and Training  
Director of Tourism  
Director of Weights & Measures  
Director, Office for the Aging  
County Historian  
Warren County Planner  
Associate Warren County Planner  
Administrator, Fire Prevention and Building Code Enforcement  
Administrator, Self-Insurance  
Deputy Insurance Administrator  
Director, Veterans' Services Agency  
Director of Information Technology  
Fire Coordinator/Director of Emergency Services  
Executive Director Lake Champlain/Lake George Regional Planning Board

APPENDIX "B"

ANNUAL STATEMENT OF FINANCIAL DISCLOSURE  
COUNTY OF WARREN FORM F-100  
FOR 20\_\_\_\_\_

1. Name and Address

\_\_\_\_\_  
Last Name Middle Initial First Name

\_\_\_\_\_  
Title

\_\_\_\_\_  
Department or Agency

\_\_\_\_\_  
County Address

\_\_\_\_\_  
County Telephone

2. Spouse and Children

Provide the name of your spouse (if married) and the names of any dependent children:

\_\_\_\_\_  
Spouse Child / Age

\_\_\_\_\_  
Child / Age Child / Age

3. Financial Interests.

"Reporting Category" for the purpose of completing the financial disclosure reports. Do not report exact dollar amounts in the completion of the statements of financial disclosure; instead, report categories of amounts, using the following categories:

- "A" \$0 - \$5,000
- "B" \$5,001 - \$10,000
- "C" \$10,001 - \$25,000

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“D” \$25,001 - \$50,000

“E” \$50,001 - \$100,000

“F” Over \$100,001

- a. **Business Positions.** List any office, trusteeship, directorship, partnership, or other position in any business, association, proprietary, or not-for-profit organization held by you, your spouse, and your dependent children, if any. Indicate whether these businesses are involved with the County or any municipality within Warren County.

Family Member	Position	Organization	County Department or Agency and Nature of Involvement
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

- b. **Outside Employment.** Describe any outside occupation, employment, trade, business, or profession providing more than \$1,00 per year for you, your spouse, and your dependent children, if any, and indicate whether such activities are regulated by any State or local agency.

Family Member	Position	Organization (Name / Address)	State or Local Agency & Nature of Involvement	Category of Amount
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____

- c. **Future Employment.** Describe any contract, promise or other agreement between you and anyone else with respect to your employment after leaving your County office or position.

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

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- d. Past Employment. Identify the source and nature of any income in excess of \$1,000 per year from any prior employer, including deferred income, contributions to pension or retirement fund, profit sharing plan, severance pay, or payments under buy-out agreement.

Name and Address of Income Source	Description of Income (i.e., pension, deferred, etc.)	Category of Amount
_____	_____	_____
_____	_____	_____
_____	_____	_____

- e. Investments. Itemize and describe all investments in excess of \$5,000 or five percent (5%) of the value in any business, corporation, partnership, or other assets, including stocks, bonds, loans, pledged collateral, and other investments, for you, your spouse, and dependent children, if any. List the location of all real estate within the county, or within five (5) miles thereof, in which you, your spouse, or dependent children, if any, have an interest, regardless of its value.

Family Member	Name / Address of Business or Real Estate	Description of Investment	Category of Amount
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

- f. Trusts. Identify each interest in a trust or estate or similar beneficial interest in any assets in excess of \$2,000, except for IRS eligible retirement plans or interests in an estate or trust of a relative, for you and your spouse and dependent children.

Name Family Member	Trust / Executor	Description of Trust / Estate	Category of Amount
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

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- g. **Other Income.** Identify the source and nature of any other income in excess of \$1,000/year from any source not described above, including teaching income, lecture fees, consultant fees, contractual income, or other income of any nature, for you and your spouse and your dependent children, if any.

Family Member	Name / Address of Income Source	Nature of Income	Category of Amount
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

**4. Interest in Contracts**

Describe any interest of you, your spouse, or your dependent children, in any contract involving the County or municipality within Warren County.

Family Member	Contract Description	Category of Amount
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

**5. Political Parties.**

List any position you held within the last five (5) years as an officer of any political party, political committee, or political organization. The term “political organization” includes any independent body or any organization that is affiliated with or a subsidiary of a political party.

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

6. Debts.

Describe all debts you, your spouse or dependent children in excess of \$5,000 as of the date of filing of this statement, other than liabilities to a relative. Do not list liabilities incurred by or guarantees made by a reporting individual, or such individual’s spouse, or by any reporting proprietorship, partnership, or corporation in which the reporting individual or such individual’s spouse has an interest, when incurred or made in the ordinary course of the trade, business or professional practice of the reporting individual or such individual’s spouse. Do not list any obligation to pay maintenance in connection with a matrimonial action, alimony or child support payments. Revolving charge account information shall only be set forth if such liability is in excess of \$5,000 at the time of filing. Do not list any loan by a financial institution to finance education costs, the cost of home purchase or improvements for a primary or secondary residence or purchase of a personally owned motor vehicle, household furniture or appliances.

Name of Debtor	Name of Creditor	Category of Amount
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

7. Third-Party Reimbursements.

Identify and describe the source of any third-party reimbursement for travel-related expenditures in excess of \$250 of any matter that relates to your official duties. The term “reimbursement” includes any travel-related expenses provided by anyone other than the County for speaking engagements, conferences, or fact-finding events that relate to your official duties.

Source	Description	Category of Amount
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

8. Gifts and Honorariums.

List the source of all gifts aggregating in excess of \$250 received during the last year by you, your spouse or dependent child, excluding gifts from a relative. The term “gifts” includes gifts of cash, property,

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personal items, payments to third parties on your behalf, forgiveness of debt, honorariums, and any other payments that are not reportable as income.

Source	Description	Category of Amount
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

The requirements of law relating to the reporting of financial interests are in the public interest and no adverse inference or unethical or illegal conduct or behavior will be drawn merely from compliance with these requirements.

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Signature of Reporting Individual Date

**APPENDIX "C"**

**WARREN COUNTY**

**Outside Interest Form**

This form is to be filled out if you or any immediate family member is currently or plans to be in the future, an employee, board member, consultant, owner, contractor or even a passive investor of an entity that: (I) engages in any business or maintains any relationship with The County (The County); (ii) provides to, or receives from The County any client referrals, or (iii) competes with The County. The completed form must be submitted to the County Attorney.

Name: \_\_\_\_\_

Job Title: \_\_\_\_\_

If not an employee, describe the nature of your relationship with The County:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Describe the nature of your outside activities in any entity that engages in any business or maintains any relationship with The County.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Describe the nature of your outside activities in any entity that provides to, or receives from, The County any client referrals.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Describe the nature of your outside activities in any entity that competes with The County.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Date completed and signature

\_\_\_\_\_  
Signature Date

Date reviewed by Compliance Officer and signature

\_\_\_\_\_  
Signature Date